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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Anatoliy Savchenkov et al. Art Unit: 2872  
 Serial No.: 10/772,218  
 Filed : February 3, 2004  
 Title : TUNABLE OPTICAL FILTERS HAVING ELECTRO-OPTIC  
 WHISPERING GALLERY MODE RESONATORS

Mail Stop Amendment  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

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Dear Sir:

Applicants call attention to the attached Information Disclosure Statement and documents listed on form PTO-1449.

This filing is being made before the receipt of a first Office action on the merits. No fee is required.

Consideration of the foregoing and enclosures plus the return of a copy of the enclosed form PTO-1449 with the Examiner's initials in the left column per MPEP 609 are earnestly solicited along with an early action on the merits.

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Respectfully submitted,

  
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Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 06618-928001	Application No. 10/772,218
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))		Applicant Anatoliy Savchenkov et al.		
		Filing Date February 3, 2004	Group Art Unit 2872	

**U.S. Patent Documents**

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	5723856	3/3/1998	Yao, et al.			
	AB	5777778	7/7/1998	Yao			
	AC	5917179	6/29/1999	Yao			
	AD	5929430	7/27/1999	Yao, et al.			
	AE	6138076	3/18/2003	Yao			
	AF	2002/0018611	2/14/2002	Maleki, et al.			
	AG	6389197	5/14/2002	Iltchenko, et al.			
	AH	6417957	7/9/2002	Yao			
	AI	6473218	10/29/2002	Maleki, et al.			
	AJ	6476959	11/5/2002	Yao			
	AK	6487233	11/26/2002	Maleki, et al.			
	AL	6488861	12/3/2002	Iltchenko, et al.			
	AM	6490039	12/3/2002	Maleki, et al.			
	AN	2003/0012504	1/16/2003	Iltchenko			
	AO	6535328	3/18/2003	Yao			
	AP	6567436	5/20/2003	Yao, et al.			
	AQ	6580532	6/17/2003	Yao, et al.			
	AR	6594061	7/15/2003	Huang, et al.			
	AS	6762869	7/13/2004	Maleki, et al.			
	AT						

**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AU	WO0196936	12/20/2001	WIPO				
	AV							
	AW							
	AX							

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

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Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AY							

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
	AZ	Dan Sadot, et al.; Tunable Optical Filters for Dense WDM Networks; Dec. 1998; IEEE Communications Magazine, pps. 50-55
	AAA	Jaafar M.H. Elmirghani, et al.; Technologies and Architectures for Scalable Dynamic Dense WDM Networks; Feb. 2000; IEEE Communications Magazine, pps. 58-66
	ABB	Vladimir S. Ilchenko, et al.; Whispering-gallery-mode electro-optic modulator and photonic microwave receiver; Feb. 2003; J. Opt. Soc. Am. B, Vol. 20, No. 2, pps. 333-342
	ACC	L.E. Myers, et al.; Quasi-phase-matched optical parametric oscillators in bulk periodically poled LiNbO <sub>3</sub> ; November 1995; J.Opt. Soc. Am. B/Vol. 12, No. 11; pps. 2102-2116

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